



PATENTS  
CF/021 CON CPA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Philip Myron Ginsberg  
Application No.: 09/225,537 Confirmation No. 2363  
Filed : January 4, 1999  
For : FIXED INCOME PORTFOLIO INDEX PROCESSOR  
Group Art Unit : 2164

New York, New York 10020  
October 5, 2001

Commissioner for Patents  
Washington, D.C. 20231

Attn: Office of Initial Patent Examination  
(Customer Service Center)

REQUEST FOR CORRECTED FILING RECEIPT

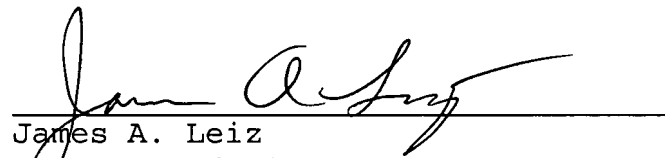
Sir:

Attached is a marked-up copy of the Corrected Filing Receipt for this patent application. The date appearing after the "CPA filed on:" is incorrect and should be changed to --7/31/2000-- as indicated in red on the enclosed marked-up copy. This is proven by the attached copy of a Transmittal Letter For Rule 53(d) Continuing Patent Application originally filed with this application and a copy of the returned postcard.

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Accordingly, applicant respectfully request that the Patent and Trademark Office issue a corrected Filing Receipt to show the correct filing date of the CPA. The error in the Corrected Filing Receipt is believed to be the responsibility of the Patent and Trademark Office. However, if for any reason the error is deemed to be the responsibility of the applicant, the Director is hereby authorized to charge any fee that may be due in connection with this Request to Deposit Account No. 06-1075. A duplicate copy of this Request is enclosed herewith.

Respectfully submitted,

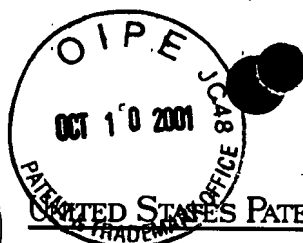
  
James A. Leiz  
Reg. No. 46,109  
Agent for Applicant

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS  
WASHINGTON, D.C. 20231 on

October 5, 2001  
Lillian Garcia

  
Signature of Person Signing

FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/225,537         | 01/04/1999  | 2164         | 890           | 1453-001C       | 5        | 16         | 3          |

CONFIRMATION NO. 2363

## CORRECTED FILING RECEIPT



\*OC00000006801365\*

ATTEN: MATTHEW T. BYRNE  
FISH & NEAVE  
1251 AVENUE OF THE AMERICAS  
NEW YORK, NY 10020-1104

Date Mailed: 09/27/2001

Receipt is acknowledged of a CPA in this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

PHILIP MYRON GINSBERG, CALABASAS, CA;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 08/396,422 02/28/1995 PAT 5,774,880

## Foreign Applications

If Required, Foreign Filing License Granted 01/26/1999

CPA filed on: 02/21/2001 --07/31/2000--

Projected Publication Date: 01/03/2002

Non-Publication Request: No

Early Publication Request: No

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FISH & NEAVE - PATENT DEPT.  
REFERRED TO  
NOTED BY

## Title

FIXED INCOME PORTFOLIO INDEX PROCESSOR

## Preliminary Class

705

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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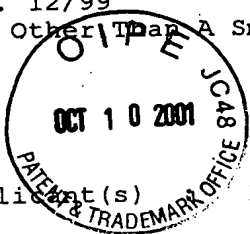
**OCT 23 2001**

**OFFICE OF PETITIONS**

Attorney Docket No. CF/021 CON

Applicant(s) Philip M. Ginsberg

For : FIXED INCOME PORTFOLIO INDEX PROCESSOR



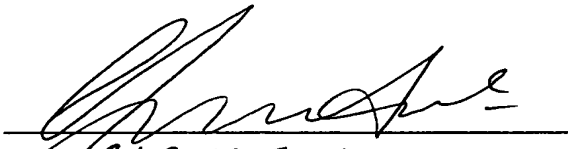
EXPRESS MAIL CERTIFICATION

"Express Mail" mailing label number EK709406387US.

Date of Deposit July 31, 2000.

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Box CPA  
Assistant Commissioner  
for Patents  
Washington, D.C. 20231

  
CLARK J. SMITH

REQUEST FOR FILING A RULE 53(d)  
CONTINUING PATENT APPLICATION

Sir:

This is a request for filing a ☒ continuation, ☐ divisional, application, under 37 C.F.R. § 1.53(d) (continued prosecution application (CPA)), of pending prior Application No. 09/225,537, filed January 4, 1999.

1. ☐ Please enter the Amendment Pursuant to 37 C.F.R. § 1.116 filed \_\_\_\_\_ in Application No. \_\_\_\_\_.
2. ☐ A preliminary amendment is enclosed.
3. ☐ This application is filed by fewer than all the inventors named in the prior application (37 C.F.R. § 1.53(d)(4)). Delete the following inventor(s) named in the prior application: \_\_\_\_\_

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4. ☒ The filing fee is calculated below:

CLAIMS AS FILED IN THE PRIOR APPLICATION

| FOR  | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE      | FEE       |
|--|-----------------|-----------------|-----------|-----------|
| BASIC FEE  |                 |                 |           | \$ 690.00 |
| TOTAL CLAIMS                                       | 16              | - 20 = 0        | x \$ 18 = | \$ 0.00   |
| INDEPENDENT<br>CLAIMS                              | 3               | - 3 = 0         | x \$ 78 = | \$ 0.00   |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS |                 |                 | + \$260 = | \$ 0.00   |
| TOTAL  |                 |                 |           | \$ 690.00 |

5. ☐ A check in the amount of \$ \_\_\_\_\_ in payment of the filing fee is enclosed.
6. ☐ Please charge \$ \_\_\_\_\_ to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this Request is enclosed.
7. ☒ This application is being filed unaccompanied by a filing fee. The appropriate filing fee will be paid in response to a Notice to File Missing Parts, pursuant to 37 C.F.R. § 1.53(f).
8. ☐ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, or to credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this Request is enclosed.
9. ☐ The power of attorney in prior Application No. \_\_\_\_\_ is to:

|       |                |
|-------|----------------|
| _____ | Reg. No. _____ |
| _____ | Reg. No. _____ |
| _____ | Reg. No. _____ |
| _____ | Reg. No. _____ |

- 9a. ☐ The power appears in the original papers in the prior application.
- 9b. ☐ Because the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
- 9c. ☐ Because the undersigned's power does not appear in the original papers, a copy of the undersigned's power in the prior application is enclosed.

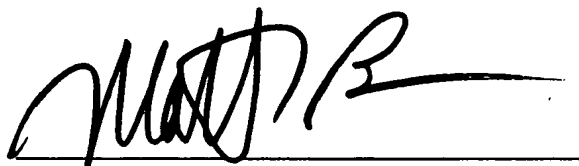
10. ☐ Address all future communications to:

Reg. No. \_\_\_\_\_  
Fish & Neave  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000

11. ☒ Please grant a ☐ one-month, ☐ two-month, ☒ three-month, ☐ four-month, ☐ five-month, extension of time under 37 C.F.R. § 1.136(a) to the Office Action of January 31, 2000 in Application No. 09/225,537, filed January 4, 1999, so that this Request will be filed while that application is still pending.
12. ☒ A check in the amount of \$ 870.00 in payment of the extension-of-time fee is enclosed.
13. ☒ The Commissioner is hereby authorized to charge payment of any additional extension-of-time fees required under 37 C.F.R. § 1.17 in connection with this paper, or to credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this Request is enclosed.
14. ☐ Please charge the extension-of-time fee of \$ \_\_\_\_\_ to Deposit Account No. 06-1075. A duplicate copy of this Request is enclosed.

July 31, 2000  
(Date)

Fish & Neave  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1104  
Tel.: (212) 596-9000



Matthew T. Byrne  
Registration No. 40,934

- ☐ Attorney or agent of record  
☒ Filed under § 1.34(a)



**Docket No.** CF/021 CON

**Applicant** Philip M. Ginsberg

**Serial No.** 09/225,537 **Filed** January 4, 1999

**Receipt is hereby acknowledged of the**  
Request For Filing A Rule 53(d) Continuing Patent  
Application with Express Mail Certification (in duplicate);  
Petition Under 37 C.F.R. § 1.136(a) For Extension of  
Time (in duplicate); Check for the amount of \$870.00 (fee  
for 3 month extension).

**Dated** July 31, 2000

JUL 31 2000

**Express Mail Label**  
**No. EK709406387US**

**Filed in connection with the above case.**

MB 00718.021

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